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3200 Receipt #5

PTO/SB/21 (modified)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>		
		Application Number	10/087,089	
		Filing Date	February 27, 2002	
		First Named Inventor	Albert K. Chin	
		Group Art Unit Number	3761	
		Examiner Name	Not yet known	
Total Number of Pages in This Submission		18	Attorney Docket Number	80121-06652

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson
<input type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ]
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Application Data Sheet	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References	<input checked="" type="checkbox"/> Copy of Filing Receipt dated 6/4/02
<input checked="" type="checkbox"/> Request for Corrected Filing Receipt	<input checked="" type="checkbox"/> Copy of Claims as submitted 2/27/02
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input checked="" type="checkbox"/> Copy of fee transmittal as submitted 2/27/02
<input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/>
<input type="checkbox"/> Status Request	<input type="checkbox"/>
<input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/>
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT	
Signature:	<i>Albert C. Smith</i>
Attorney/Reg. No.:	Albert C. Smith / Reg. No.: 20,355
Dated:	7/26/02

CERTIFICATE OF MAILING	
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.	
Signature:	<i>Albert C. Smith</i>
Typed or Printed Name:	Albert C. Smith
Dated:	7/26/02
Express Mail Mailing Number (optional):	

80121/06652/DOCS/1285215.1



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PTO/SB/17 (10-01)(modified)  
OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002/PTO(modified)  
Rev. 10/2001

U.S. Department of Commerce  
Patent and Trademark Office

## FEE TRANSMITTAL

### TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) =

(\$)

### Complete if Known

Application Number	10/087,089
Filing Date	February 27, 2002
First Named Inventor	Albert K. Chin
Group Art Unit	3761
Examiner Name	Not yet known
Attorney Docket Number	80121-06652

### METHOD OF PAYMENT

#### 1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. †
- ☐ Applicant claims small entity status  
See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

#### 2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Other

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month†	
116/\$400	216/\$200	Extension for response within second month†	
117/\$920	217/\$460	Extension for response within third month†	
118/\$1,440	218/\$720	Extension for response within fourth month†	
128/\$1,960	228/\$980	Extension for response within fifth month†	
119/\$320	219/\$160	Notice of Appeal	
141/\$1,280	241/\$640	Petition to revive unintentionally abandoned application	
142/\$1,280	242/\$640	Utility Issue Fee (Or Reissue)	
143/\$460	243/\$230	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	
179/\$740	279/\$370	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
146/\$740	246/\$370	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$740	249/\$370	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify):			
Other fee (specify):			
SUBTOTAL (3)			(\$)

### FEE CALCULATION (fees effective 10/01/2001)

#### 1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$740	201/\$370	Utility Filing	
106/\$330	206/\$165	Design Filing	
108/\$740	208/\$370	Reissue	
114/\$160	214/\$80	Provisional Filing	
SUBTOTAL (1)			(\$)

#### 2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$84	202/\$42	Independent claims in excess of 3
104/\$280	204/\$140	Multiple dependent claim
109/\$84	209/\$42	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

(Col. 1)		(Col. 2)		(Col. 3)		Fee	=	Fee Due
For	No. of Existing Claims	minus*	Highest No. Previously Paid For	=	Extra**			
TOTAL		minus*	20 or 0	=		x		
INDEP		minus*	3 or 0	=		x		
[ ] First presentation of multiple dependent claim								

\* Subtract the greater number of Col. 2

\*\* If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) (\$)

#### SUBMITTED BY

Typed or Printed Name Albert C. Smith

Signature

*Albert C. Smith*

#### Complete (if applicable)

Reg. Number 20,355

Date

7/26/02

80121/06652/DOCS/1285226.1

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IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

APPLICANT(S): Albert K. Chin  
APPLICATION NO.: 10/087,089  
FILING DATE: February 27, 2002  
TITLE: Temporary Arterial Shunt and Method  
EXAMINER: Not yet known  
GROUP ART UNIT: 3761  
ATTY. DKT. NO.: 80121-06652

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner For Patents, Office of Initial Patent Examination, Customer Service Center, Washington, D.C. 20231, on the date shown below:

Dated: 7/26/02 By: A.C. Smith  
Albert C. Smith, Reg. No.: 20,355

COMMISSIONER FOR PATENTS  
OFFICE OF INITIAL PATENT EXAMINATION  
CUSTOMER SERVICE CENTER  
WASHINGTON, DC. 20231

**REQUEST FOR CORRECTED FILING RECEIPT**

SIR:

Enclosed is a copy of the Updated Filing Receipt. It contains the following errors:

1. The independent claims are erroneously stated as five (5). The correct number of independent claims is six (6), as evidenced by the claims and the Fee Transmittal as submitted on February 27, 2002, copies of which are enclosed.

2. A mathematical error was made on the Fee Transmittal upon filing. A check was submitted for \$1,214.00 but actual fees should have been \$1,316.00.

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PATENT

Actual fees we have paid to date are as follows:

Filing Fee	\$ 1,214.00
Response to Notice of Missing Parts	\$ 130.00
Total	\$ 1,344.00

If appropriate, please charge any additional fee required to our Fenwick & West LLP Deposit Account No. 19-2555. Please issue a corrected Filing Receipt rectifying these errors.

Respectfully submitted,  
ALBERT K. CHIN

Dated: 7/26/02

By: A.C. Smith  
Albert C. Smith, Reg. No.: 20,355  
Fenwick & West LLP  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/087,089	02/27/2002	3761	1362	80121-6652	3	38	(5) 6

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FENWICK & WEST LLP  
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CONFIRMATION NO. 1991

UPDATED FILING RECEIPT



\*OC000000008229584\*

Date Mailed: 06/04/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Albert K. Chin, Palo Alto, CA;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 04/05/2002

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

## Title

Temporary arterial shunt and method

Preliminary Class

604

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**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

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